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**Personnel**

**SUPERVISOR'S RECORDS**

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This instruction contains information needed by all supervisors of civilian employees paid from appropriated funds. It prescribes the automated and manual records each supervisor must keep regarding subordinates. It also tells where the records are to be kept and prohibits the duplication of records at various levels of supervision within an organization. PC-III applications apply to these personnel management procedures and can be used as appropriate. This publication applies to all employees paid from appropriated funds

**SUMMARY OF CHANGES**

This revision aligns the instruction with AFPD 36-1, *General Civilian Personnel Provisions and Authorities*.

**1. Management Responsibilities.** Responsibilities for employee work folders are as follows:

**1.1. Supervisor.** As defined in Title 5, United States Code, Section 7103(a)(10), a supervisor is an employee with authority to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees. Each first-level supervisor maintains the records and files prescribed in this regulation. Supervisors at higher levels will not maintain duplicate sets of records, unless approved locally by the head of the organization (e.g., Civil Engineering Commander, Supply Commander, etc.). Each supervisor ensures records are maintained to protect employee privacy.

**1.2. Civilian Personnel Flight (CPF).** The CPF provides the basic automated records required; issues instructions for upkeep and use; and trains and assists supervisors in their use.

**1.3. Operating Official.** The organizational commander or a supervisor above the first level ensures that records are kept at the lowest practicable supervisory level within the organization, and that each supervisor knows and fulfills his or her responsibility for keeping records of employees supervised.

**2. Supervisor's Employee Work Folder.** The Supervisor's Employee Work Folder is a set of records used in managing the performance of employees at the unit level. It consists of records (e.g. Supervisor's

Employee Brief and related documents) at or near the work site depending on conditions of the supervisor and employee relationship to the work site, such as: availability of secure storage containers; facilities for counseling in private; distances between work site, crew office, and supervisor's and manager's office; climate; availability of transportation; etc. The following is a list of records normally maintained by the supervisor in the Employee Work Folder. An explanation of these records is found in paragraphs 3 through 10.

- 2.1. AF Form 971, **Supervisor's Employee Brief (Computer Generated)**.
- 2.2. Training Records.
- 2.3. Complaints of Indebtedness.
- 2.4. Leave Schedules.
- 2.5. AF Form 1378, **Civilian Personnel Position Description**, or AF Form 1003, **Air Force Core Personnel Document**.
- 2.6. SF Form 52, **Request for Personnel Action**.
- 2.7. Copy of employee Performance Appraisal and Backup Information.
- 2.8. DD Form 2365, **DOD Civilian Employee Overseas Emergency - Essential Position Agreement**.

**3. Records Authorized for Supervisors.** The following records are authorized for supervisors:

3.1. AF Form 971, **Supervisor's Employee Brief (Computer Generated)**. This is the supervisor's automated record on each employee. Upon request, an employee is permitted to review this record. An automated record is generated when certain personnel actions occur and is sent to the supervisor. The following personnel actions will generate a new Supervisor's Employee Brief: Appointment, Transfer, Promotion, Change to Lower Grade, Reassignment, Conversion, Merit Increase and Quality Step Increase. Based on local requirements, briefs may be generated more frequently. The contents of the Supervisor's Employee Brief follows:

3.1.1. Part A will contain current personal employee data. The supervisor will enter employee's home address, home telephone, and necessary emergency information on each brief as soon as it is received from the civilian personnel flight by obtaining up-to-date information from the employee.

3.1.2. Supervisor's Notes. Part B of the brief provides an area for supervisors to record comments and remarks occurring during the year. Record discussions with the employee on performance, emergency-essential responsibilities, debt complaints, duty and travel restrictions, conduct of employee, and other pertinent data. Record letters of appreciation. Parts A and B are detachable and all discussions which could potentially lead to performance or disciplinary actions are retained and attached to new employee's brief. The current AF Form 971 is not destroyed if it contains disciplinary or performance entries.

3.1.3. Part C contains employee's experience data, education, performance, training, and awards information and is automatically updated when significant changes occur.

3.1.4. Additional Entries. Part B of the brief may also be used for additional information as determined by the major command (MAJCOM).

**4. Training Records.** Under AFI 36-401, *Training and Development*, the supervisor (or a higher level operating official) must keep a copy of the training needs and training plans that are approved for employees. This information may be part of the Supervisor's Employee Work Folder; however, it is not maintained on the Supervisor's Employee Brief.

**5. Complaints of Indebtedness.** Supervisors may retain debt complaint letters and employee's replies for not more than 2 years from the date of the complaint letter.

**6. Leave Schedules.** According to AFI 36-808, *Absence and Leave*, supervisors prepare a leave schedule for their subordinates each year. This may be maintained in the Employee's Work Folder or in a central office file.

**7. Position Description or Core Document.** Supervisors keep a copy of AF Form 1378, **Civilian Personnel Position Description**, or AF Form 1003, **Air Force Core Personnel Document**, for each basic position in the organization. The file may contain copies of organizational charts, official statements of the functions of the organization, and staffing authorization documents. Higher levels of supervision in the overall organization may also retain copies of these documents. Position descriptions or core documents containing classified information are filed as explained in AFI 31-501, *Personnel Security Program Management*. Position sensitivity is maintained on the AF Form 1378 or AF Form 1003 and changes to position sensitivity are accomplished according to AFI 31-501 and AFI 36-107, *Personnel and Position Actions*.

**8. SF 52, Request for Personnel Action.** According to AFI 36-107, the Supervisor keeps a copy of the document used to recommend or request a personnel action until notified of approval or disapproval, or completion of the action. Supervisors also keep copies of letters or other correspondence relating to requested actions. At local discretion, pending personnel actions may be kept in a central administrative function within the organization.

**9. Employee Performance Appraisal File.** Copies of appraisal forms and documentation of periodic performance discussions may be maintained in the Supervisor's Employee Work Folder. Supervisors and managers are not prohibited from maintaining personal notes, as memory aids. Such notes are (1) retained for the personal use of the author only, as a memory aid; and (2) not circulated to anyone else including other supervisors or managers, the author's secretary, or clerical support personnel; and (3) not required by directives published at any level and may be retained or discarded solely as the author sees fit. When personal notes are maintained they are not considered to be part of this system or subject to the Privacy Act. By definition, any records authorized or required by written directives are not personal notes; they are official records and are subject to the Privacy Act.

**10. Emergency-Essential Agreement.** As referenced by AFI 36-506, *Use and Administration of Local Civilians in Foreign Areas During Hostilities*, employees assigned to emergency-essential positions must sign a DD Form 2365, **DOD Civilian Employee Overseas Emergency- -Essential Position Agreement**. The original is filed in Supervisor's Employee Work Folder, and a copy is sent to the CPF.

**11. Records Authorized at a Higher Level.** When the administrative office of a major organization needs to maintain a supplemental record for use in overall strength control, organizational planning, and the efficient operation of the total organization, the following may be used:

11.1. An automated listing of positions and employees for each organization.

11.2. An organization chart containing this information.

**12. Automated Personnel Management System (APMS).** APMS is not a specific data system, but rather a system which may be developed locally, outside of DCPDS. In addition to the information contained in the Supervisor's Employee Work Folder, organizations may develop local automated systems to meet legitimate management needs. The information contained in an APMS is outside of that contained in DCPDS and should not duplicate that information. Any locally developed automated personnel system must comply with AFI 37-132, *Air Force Privacy Act Program*, and *The Privacy Act Systems of Records Directory*.

12.1. Requests to establish an APMS must be sent through the local CPF to the parent MAJCOM Director of Civilian Personnel who must coordinate on any local system containing civilian personnel data before it is implemented. This also applies to any existing system which includes or has been changed to include civilian personnel data. The parent MAJCOM Director of Information Management determines whether such requests constitute a new records system that must be included in the *Federal Register* or whether an existing *Federal Register* issuance already covers the requested data system.

**13. Access to SF 66, Official Personnel Folder (OPF).** The CPF maintains for the Office of Personnel Management (OPM), an OPF on each serviced employee. (Duplicate folders at any other organization level are not permitted.) Operating officials, supervisors, and employees may have access to SFs 66 as follows:

13.1. Designated Officials. Although operating officials and supervisors may refer to OPFs in considering employees for promotion or other assignments, these folders are restricted by the OPM; that is, they are not public records and are available to review for official purposes only. Therefore, access to information in these folders is limited locally to designated officials.

13.2. Employee Access. An employee may see any of the contents of his or her official personnel folder except for certain examination papers, investigative reports, loyalty and security investigative information, and confidential questionnaires and employment inquiries. This restricted information is covered in detail in Federal Personnel Manual, Chapter 294, *Availability of Official Information*.

13.3. Handling the Folder. Each person who uses an OPF is responsible for: (1) safeguarding the confidential nature of the information gained from the folder; (2) not removing or adding any documents; and (3) promptly returning each folder.

**14. Disposition and Safeguarding of The Supervisor's Employee Work Folder .** The following procedures are used in disposing of the Supervisor's Employee Work Folder:

14.1. When a supervisor leaves the organization, the Supervisor's Employee Work Folder is retained for the gaining supervisor.

14.2. When an employee moves to a different organization on the same base, the losing supervisor sends the complete up-to-date Employee Work Folder to the gaining supervisor.

14.3. When an employee is transferred to another Air Force installation or another agency, the Employee Work Folder is destroyed after 60 days.

14.4. When an employee is separated for any other reason other than entrance into military service or an adverse action, the supervisor destroys the Employee Work Folder after 60 days.

14.5. When an employee is separated as a result of an adverse action, the Employee Brief and any supporting documents contained in the Supervisor's Employee Work Folder are destroyed when no longer needed for pending grievance, appeal, EEO complaint, or Unfair Labor

Practice charge. CPF advice should be obtained before destruction.

14.6. When an employee is separated to enter military service, the supervisor sends the Employee Work Folder to the CPF.

14.7. Unless otherwise specified in a collective bargaining agreement, reprimands maintained in the work folder must be destroyed 2 years from date of notice of decision to reprimand, and an oral admonishment recorded on the AF Form 971 must be deleted 2 years from the date of admonishment.

14.8. These records require procedures that ensure safekeeping and storage in a manner that will protect against casual access to them, that will ensure disclosure of them to Air Force officials or others outside of the Air Force only when appropriate, and that will not violate personal privacy. Describing explicitly every use of these records or describing all circumstances when they will be disclosed outside of the Air Force is not feasible. All supervisors and employees maintaining these records must be cautioned that they are to use discretion and good judgment when asked to furnish the records; and furnish the records only as permitted by the Privacy Act.

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